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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/757,250	01/14/2004	Frank Eliot Levine	AUS920030488US1	6476

35525 7590 07/05/2007  
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EXAMINER	
KENDALL, CHUCK O	

ART UNIT	PAPER NUMBER
2192	

MAIL DATE	DELIVERY MODE
07/05/2007	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/757,250	<b>Applicant(s)</b> LEVINE ET AL.	
	<b>Examiner</b> Chuck O. Kendall	<b>Art Unit</b> 2192	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 04 January 2007.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1 - 3, 5 - 10, 12 - 17, 19 and 20 is/are pending in the application.
- 4a) Of the above claim(s) 4, 11 and 18 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1 - 3, 5 - 10, 12 - 17, 19 and 20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
     Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
     Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                     | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

**DETAILED ACTION**

1. This is in response to Application filed 01/04/07.
2. Claims 1 – 3, 5 – 10, 12 – 17, 19 and 20 have been examined.

***Claim Rejections - 35 USC § 102***

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this

Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

4. Claims 1 – 3, and 5 are rejected under 35 U.S.C. 102(e) as being anticipated by Merchant et al. USPN 6,772,322 B1.

Regarding claim 1, a method for executing instructions in a data processing system, comprising:

associating one or more instructions of a computer program with one or more performance indicators (FIG.3, 322, see EVENT DETECTOR);

storing the one or more performance indicators in one or more performance indicator fields of a page table (See, FIG. 5 and all associated text);

initiating one or more counter fields in the page table for the one or more instructions in association with corresponding performance indicators of the one or more performance indicators (FIG.3, 350); and

incrementing values in the one or more counter fields during execution of an instruction of the computer program based on whether the instruction has an associated performance indicator in a performance indicator field of the page table (FIG. 3,350 and all associated text).

Regarding claim 2, the method of claim 1, wherein incrementing values in the one or more counter fields during execution of an instruction includes:

determining if an event associated with a performance indicator stored in the one or more performance indicator fields has occurred (FIG. 4, 415, and all associated text); and

incrementing a value in a corresponding counter field of the one or more counter fields if the event has occurred (FIG. 4, 465 and all associated text).

Regarding claim 3, the method of claim 1, wherein the event is a cache miss (2:35 – 40).

Regarding claim 5, the method of claim 4, further comprising:  
upon the occurrence of an event, comparing one or more values in the one or more counter fields to a threshold value in the one or more threshold fields (5:33 – 42); and

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generating an interrupt if a predetermined relationship between the one or more values in the one or more counter fields and the threshold value is present (2:33 - 37).

***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claim 6 – 10, 12 – 17, 19 and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Merchant et al. USPN 6,772,322 B1 as applied in claim 1, in view of Roth et al. USPN 5,937,437.

Regarding claim 6, Merchant teaches all the claimed limitations as applied in claim 1 above including determining whether an event has occurred during the accessing of the portion of code or portion of data, wherein incrementing the values in the one or more counter fields is performed in response to a determination that the event has occurred during the access of the portion of code or portion of data (FIG. 4, items 415 – 445, see receive events and associate performance tag in storage also all other associated text) .

Merchant doesn't expressly disclose receiving an access request for portion of code or portion of data, wherein the access request includes an identifier of a virtual address of the portion of code or portion of data and converting the virtual address to a real address of a storage location of the portion of code or portion of data in a storage device and accessing the portion of code or portion of data via using the real address. However, Roth in an analogous art and similar configuration of monitoring performance (Abstract) discloses monitoring events related to virtual storage (effective-to-real) address translation and also converting virtual addresses to corresponding real addresses (3:55 – 4:8) and accessing them quickly to obtain a real address to verify a cache hit. Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to combine Merchant and Roth because, it would enable verifying cache hits.

Regarding claim 7, the method of claim 1, Roth further discloses wherein associating one or more instructions of a computer program with one or more performance indicators includes associating the one or more performance indicators with a virtual and a real addresses of the one or more instructions in the page table (Roth 3:60 – 67).

Regarding claim 8, the computer program product version of claim 1, see the rationale above as previously discussed.

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Regarding claim 9, the computer program product version of claim 2, see the rationale above as previously discussed.

Regarding claim 10, the computer program product version of claim 3, see the rationale above as previously discussed.

Regarding claim 12, the computer program product version of claim 5, see the rationale above as previously discussed.

Regarding claim 13, the computer program product version of claim 6, see the rationale above as previously discussed.

Regarding claim 14, the computer program product version of claim 7, see the rationale above as previously discussed.

Regarding claim 15, the apparatus version of claim 1, see the rationale above as previously discussed.

Regarding claim 16, the apparatus version of claim 2, see the rationale above as previously discussed.

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Regarding claim 17, the apparatus version of claim 3, see the rationale above as previously discussed.

Regarding claim 19, the apparatus version of claim 5, see the rationale above as previously discussed.

Regarding claim 20, the apparatus version of claim 6, see the rationale above as previously discussed.

### ***Response to Arguments***

Applicant's arguments filed 01/04/07 have been fully considered but they are not persuasive.

Argument (1), On page 10 of 14 of Applicant's response, Applicant argues that prior art doesn't disclose "storing one or more threshold values in one or more threshold fields of the page table in association with the one or more performance indicators fields..."

Examiner disagrees. In 6:55 – 65, merchant discloses matching current events with stored specific event/threshold and based on the results, it generates tags with corresponding instructions. Examiner interprets these tags to be the performance indicators based on the specific values previously stored.



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Argument (2), Applicant argues on page 12 of 14 that Merchant doesn't disclose,

"upon the occurrence of the event, comparing one or more values in the one or more counter fields to a thresh hold value in the one or more threshold fields, and generating an interrupt if a predetermined relationship between the one or more values in the one or more counter fields and threshold value is present".

Response (2), Examiner believes that Merchant does in fact disclose this limitation. Merchant in 6:55 – 65, discloses matching the specified event with the current event and specified instruction with the current instructions which generates match tags based on the results of the matching. The process combines the event and the instruction match tags to provide a performance tag. Examiner has interpreted comparing the specified event and current events to be equivalent to the thresholds and the tags is the relationship between the events.

Argument (3), With regards to the lack of motivation as argued by Applicant on page 13 of 14, based on the deficiencies as argued under 102 rejections as argued by Applicant, in arguments (1) and (2). Arguments have been addressed above and hence all 103 rejections are proper.

### **Correspondence information**

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7. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Chuck Kendall whose telephone number is 571-272-3698. The examiner can normally be reached on 10:00 am - 6:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tuan Dam can be reached on 571-272-3695. The fax phone number for the organization where this application or proceeding is assigned is **571-273-8300**.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through

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Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Ck.

Chuck Kendall

3/19/07